

Docket No. 4428-4001US2

Express Mail No. EJ606931536US

27123

↑CUSTOMER NUMBER↑



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY APPLICATION AND FEE TRANSMITTAL §(1.53(b))

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s) names and addresses:

**PRASHANT PARIKH, 254 East 68th Street, New York, New York 10021, U.S.A; and
STANLEY PETERS, 128 Hillside Avenue, Menlo Park, California 94025, U.S.A.**

☐ Additional inventors are listed on a separate sheet

For: **NAVIGATION IN A HIERARCHICAL
STRUCTURED TRANSACTION PROCESSING SYSTEM**

Enclosed Are:

1 page(s) of cover sheet
147 page(s) of specification
1 page(s) of Abstract
7 page(s) of claims 1-26
11 sheets of Formal FIGS. 1-6, 7A, 7B and 8-14
7 page(s) of Declaration and Power of Attorney

- ☐ Unsigned
☐ Newly Executed
☒ Copy from prior application serial number 10/299,359, filed November 19, 2002
☐ Deletion of inventors including Signed Statement under 37 C.F.R. §1.63(d)(2)

1 page(s) of Associate Power of Attorney
☒ Copy from prior application serial number 10/299,359, filed November 19, 2002

☐ **REQUEST AND CERTIFICATION UNDER 35 U.S.C. §122(b)(2)(B)(i) (form PTO/SB/35)**

As indicated on the attached Request and Certification, Applicant(s) certify that the invention disclosed in the attached application HAS NOT and WILL NOT be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. Applicant(s) therefore request(s) that the attached application NOT be published under 35 U.S.C. §122(b).

☒ **Incorporation by Reference:**

☒ **The entire disclosure of the prior application, from which a copy of the combined Declaration and Power of Attorney is supplied herein, is considered as being part of the disclosure of the accompanying application and is incorporated herein by reference.**

☐ **Deletion of Inventors (37 C.F.R. §1.63(d) and §1.33(b))**

Signed statement attached deleting inventor(s) named in the prior application serial no. ____, filed ____.

☐ **Microfiche Computer Program (Appendix)**

- ☐ page(s) of Sequence Listing
- ☐ computer readable disk containing Sequence Listing
- ☐ Statement under 37 C.F.R. §1.821(f) that computer and paper copies of the Sequence Listing are the same

☒ **Assignment Papers (assignment cover sheet and assignment documents)**

- ☐ A check in the amount of \$40.00 for recording the Assignment
- ☐ Charge the Assignment Recordation Fee to Deposit Account No. 13-4500, Order No. ____.
- ☒ **Assignment Papers filed in the parent application Serial No. 10/299,359, filed November 19, 2002 and recorded under Reel 014100 and Frame 0747.**

☐ **Certification of chain of title pursuant to 37 C.F.R. §3.73(b)**

☐ **Priority is claimed under 35 U.S.C. §119 for:**

Application No(s). ____, filed ____, in ____ (country).

☐ **Certified Copy of Priority Document(s) [____]**

- ☐ filed herewith
- ☐ filed in application Serial No. ____, filed ____.

☐ **English translation document(s) [____]**

- ☐ filed herewith
- ☐ filed in application Serial No. ____, filed ____.

☐ **Priority is claimed under 35 U.S.C. §119(e) for:
Provisional Application No. ____, filed ____.**

- ☐ Information Disclosure Statement
- ☐ Copy of [_____] cited references
- ☐ PTO Form-1449 citing references cited in parent application Serial No. _____, filed _____.
- ☐ References cited in parent application Serial No. _____, filed _____.
- ☐ Related Case Statement under 37 C.F.R. §1.98(a)(2)(iii)
- ☐ A copy of related pending U.S. Application(s) Serial No(s): _____, filed _____, respectively, is attached hereto.
- ☐ A copy of related pending U.S. Application(s) entitled, _____, filed _____ to inventor(s) _____, respectively, is attached hereto.
- ☐ A copy of each related application(s) was submitted in parent application serial no. _____, filed _____.
- ☒ **Preliminary Amendment**
- ☒ **Return receipt postcard (MPEP 503)**
- ☒ **This is a ☐ continuation ☒ divisional ☐ continuation-in-part of prior application serial no. 10/299,359, filed November 19, 2002, to which priority under 35 U.S.C. §120 is claimed.**
- ☒ **Cancel in this application original claims 1-7 and 8-20 of the parent application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)**
- ☒ **A Preliminary Amendment is enclosed. (Claims added by this Amendment have been properly numbered consecutively beginning with the number following the highest numbered original claim in the prior application).**
- ☒ **The status of the parent application is as follows:**
- ☐ A Petition for Extension of Time and a Fee therefor has been or is being filed in the parent application to extend the term for action in the parent application until _____.
- ☐ A copy of the Petition for Extension of Time in the co-pending parent application is attached.
- ☒ **No Petition for Extension of Time and Fee therefor are necessary in the co-pending parent application.**
- ☐ Please abandon the parent application at a time while the parent application is pending or at a time when the petition for extension of time in that application is granted and while this application is pending has been granted a filing date, so as to make this application co-pending.
- ☒ **Transfer the drawing(s) from the parent application to this application.**

- ☒ Amend the specification by inserting before the first line the sentence:
This is ☐ continuation ☒ divisional ☐ continuation-in-part of co-pending
application Serial No. 10/299,359, filed November 19, 2002.


I. CALCULATION OF APPLICATION FEE				
	Number Filed	Number Extra	Rate	Basic Fee \$770.00/385.00
Total Claims	6- 20 =	0x	\$18.00/ \$9.00	\$ 0
Independent Claims	1- 3 =	0x	\$86.00/ \$43.00	\$ 0
<input type="checkbox"/> Multiple Dependent Claims		If marked, add fee of \$290.00 (\$145.00)		\$
TOTAL:				\$ 385.00

- ☒ Small entity status is or has been claimed. Reduced fees under 37 C.F.R. §1.9 (f) paid herewith \$385.00.
- ☒ A check in the amount of \$385.00 in payment of the application filing fees is attached.
- ☐ Charge fee to Deposit Account No. 13-4500, Order No. _____. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for filing this application pursuant to 37 CFR §1.16, including all extension of time fees pursuant to 37 C.F.R. § 1.17 for maintaining copendency with the parent application, or credit any overpayment to Deposit Account No. 13-4500, Order No. 4428-4001US2. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: March 11, 2004

By:


Richard Straussman
Registration No. 39,847

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, NY 10154-0053
(212) 758-4800 Telephone
(212) 751-6849 Facsimile

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) Prashant Parikh and Stanley Peters

Group Art Unit: To Be Assigned

Serial No.: To Be Assigned

Examiner: To Be Assigned

Filed: March 11, 2004

For: NAVIGATION IN A HIERARCHICAL STRUCTURED
TRANSACTION PROCESSING SYSTEM

EXPRESS MAIL CERTIFICATE

Express Mail Label No.: EJ606931536US

Date of Deposit: March 11, 2004

I hereby certify that the following attached paper(s) and/or fee

1. Utility Application and Application Fee Transmittal (in duplicate); enclosing copy of Cover Page (1 page); Specification (147 pages), claims 1-26 (7 pages), abstract (1 page), 11 sheets of formal drawings (FIGS. 1-6, 7A, 7B and 8-14);
2. copy of Declaration And Power Of Attorney (7 pages);
3. copy of Associate Power of Attorney (1 page);
4. Preliminary Amendment (5 pages);
5. Check in the amount of \$385.00; and
6. Return postcard

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

ANITA COUGHLIN

(Typed or printed name of person mailing papers(s) and/or fee)

Anita Coughlin
(Signature of person mailing paper(s) and/or fee)

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